

The grap give per party with the street that the control form early the given the street that the given the control that the street that the s

Sheet 3 of 3 Cobrinik, et al.

FINANCIAL ADVISOR DATA BASE 30

| | | T | T | |
|---|--|---|--|-----|
| | UPDATED INVESTMENT VEHICLE BY PERCENTAGES | VEHICLE A: 0% VEHICLE B: 25% SECURITIES: 25% FIXED INCOME: 50% | VEHICLE A: 2.5% VEHICLE B: 0 SECURITIES: 37.55% FIXED INCOME: 60% | 30Н |
| | UPDATED INVESTMENT VEHICLE GROSS INVESTMENTS | VEHICLE A: \$0M VEHICLE B: \$1M SECURITIES: \$1M FIXED INCOME: \$2M | VEHICLE A: \$125K VEHICLE B: 0 SECURITIES: \$1.875M FIXED INCOME: \$3M | 30G |
| | INTTIAL INVESTMENT VEHICLE BY PERCENTAGE | VEHICLE A: 20% VEHICLE B: 20% SECURITIES: 20% FIXED INCOME: 40% | VEHICLE A: 5% VEHICLE B: 0 SECURITIES: 35% FIXED INCOME: 60% | 30F |
| | INTIAL INVESTMENT VEHICLE GROSS INVESTMENTS | VEHICLE A: \$1M VEHICLE B: \$1M SECURITES: \$1M FIXED INCOME: \$2M | VEHICLE A: \$250K VEHICLE B: 0 SECURITIES: \$1.750M FIXED INCOME: \$3M | 30E |
| | CAPITAL STATUS | CALLED; COMMITTED; DISTRIBUTED | CALLED; COMMITTED; DISTRIBUTED | 30D |
| | INVESTOR GOALS & RISK PROFILE | LONG-TERM, HIGH-RETURN INVESTMENTS: HIGH-RISK PROFILE | SHORT-TERM, LOW-RETURN INVESTMENTS FOR RETIREMENT: LOW-RISK PROFILE | 30C |
| | INVESTOR INFORMATION | ADDRESS TELEPHONE NUMBER AGE FAMILY STATUS OCCUPATION | ADDRESS TELEPHONE NUMBER AGE FAMILY STATUS OCCUPATION | 30B |
| S | NAME | SMITH | KLINE | 30A |
| | | 32 | 37 | |

Fig. 3

The first star first first star first star from the first star fro

FUND MANAGEMENT DATABASE 40

| | FUND IDENTIFIER | FUND INFORMATION | FUND FINANCIAL INFORMATON | RISK ASSESSMENT | FUND PAYOUT EVENTS |
|------|--------------------|---|--|--|------------------------------|
| 7 45 | FUND A | NAME OF COMPANIES BUSINESS OF COMPANIES OFFICERS OF COMPANIES FINANCIAL INFORMATION RE. COMPANIES | FAIR MARKET VALUE INVESTED FUNDS COMMITTED FUNDS | INVESTMENT ANALYST RISK ASSESSMENT: HIGH | COMPANY EVENT COMPANY PAYOUT |
| 4 | FUND B | NAME OF COMPANY BUSINESS OF COMPANY OFFICERS OF COMPANY FINANCIAL INFORMATION RE. COMPANY | FAIR MARKET VALUE INVESTED FUNDS COMMITTED FUNDS | INVESTMENT ANALYST RISK ASSESSMENT: HIGH | COMPANY EVENT COMPANY PAYOUT |
| | 40A | 40B | 40C | 40D | 40E |

Fig. 4

Fig. 5

89

2

20

DEVELOP NEW INVESTMENT PORTFOLIO

LEAVE INVESTMENT

YES

RISK PROFILE SATISFY

PORTFOLIO UNCHANGED

> DESIRED RISK PROFILE?